



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/928,109	08/10/2001	Thomas R. Goodwin	21162-015

CONFIRMATION NO. 6279

FORMALITIES LETTER



OC000000006580600

MINTZ, LEVIN, COHN, FERRIS,
GLOVSKY and POPEO, P.C.
One Financial Center
Boston, MA 02111

Date Mailed: 09/20/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 65.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

8/12/2001 CVDRA/CHA 6010003 1126105

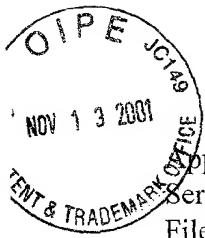
01 FD:205

08/10/01

*A copy of this notice **MUST** be returned with the reply.*

PART 2 - COPY TO BE RETURNED WITH RESPONSE

Express Mail No.: EL862127961US
Date of Deposit: November 13, 2001



12- 10-01
7 sector

ATTORNEY'S DOCKET NO: 21162-015

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Thomas R. Goodwin, et al.
Serial No: 09/928,109
Filed: August 10, 2001
For: SYSTEM AND METHOD FOR TRADING AND ORIGINATING
FINANCIAL PRODUCTS USING A COMPUTER NETWORK
Examiner: Not Yet Assigned
Art Unit: 2161

Box MISSING PARTS

Commissioner for Patents and Trademarks
Washington, D.C. 20231

Sir: TRANSMITTAL LETTER

Enclosed herewith for filing in the above-identified patent application please find the following listed items:

1. Response to Notice to File Missing Parts of Nonprovisional Application;
2. Executed Combined Declaration and Power of Attorney with check in the amount of \$65.00 (#10591) for Declaration surcharge fee;
3. Letter to the Official Draftsman, with formal drawings in compliance with 37 CFR 1.84, consisting of 33 sheets of Figures 1-30;
4. Copy of Notice to File Missing Parts of Nonprovisional Application (Part 2); and
5. Return Postcard.

In connection with the foregoing matter, please charge any additional fees which may be due, or credit any overpayment, to Deposit Account Number 50-0311, Reference 21162-015.
A duplicate copy of this letter is provided for this purpose.

Respectfully submitted,



30623
PATENT TRADEMARK OFFICE

Marianne M. Downing
Registration No. 42,870
Mintz, Levin, Cohn, Ferris,
Glovsky and Popeo, P.C.
One Financial Center
Boston, Massachusetts 02111
Telephone 617/542-6000
Attorneys for Applicants

Date: November 13, 2001